



Attorney Docket No. A-10041

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Patent Application for:

First Inventor: Ivo V. IVANOV

**Group Art Unit: 3628**

Appln. No.: 10/777,093

**Examiner:**

For: DYNAMIC REBALANCING OF  
ASSETS IN AN INVESTMENT  
PORTFOLIO

**Confirmation No.: 4549**

\* \* \*

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

In accordance with the duty of disclosure as set forth in 37 C.F.R. §1.56, Applicants hereby submit the following information in conformance with 37 C.F.R. §§ 1.97 and 1.98.

The documents are being submitted within three (3) months of the filing of this application or entry into the national stage of this application, or before the first Office Action on the merits, whichever is later, therefore no fee or certification is required under 37 C.F.R. § 1.97(b).

It is requested that the accompanying information disclosure statement be considered and made of record in the above-captioned application. To assist the Examiner, the documents are listed on the attached form PTO-1449. It is respectfully requested that an Examiner initialed copy of this form be returned to the undersigned.

The Commissioner is hereby authorized to charge any fees connected with this filing which may be required now, or credit any overpayment to Deposit Account No. 50-1165 (A-10041).

Respectfully submitted,

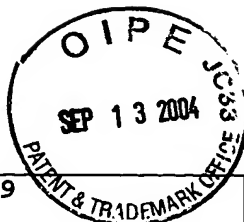
By: \_\_\_\_\_

Jason H. Vick

Registration No. 45,285

MILES & STOCKBRIDGE, P.C.  
1751 Pinnacle Drive, Suite 500  
McLean, Virginia 22102  
Telephone: (703) 903-9000

September 13, 2004



FORM PTO-1449

Atty. Docket No.

XA-10041

Appln. No.

10/777,093

**LIST OF DOCUMENTS CITED BY APPLICANT**

Applicant

Ivo V. IVANOV et al.

Filing Date

February 13, 2004

Group

**U.S. PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Name	Class	Sub-class	Filing Date
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	AB	2002/0138383 A1	09-26-2002	Rhee	705	36	
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**FOREIGN PATENT DOCUMENTS**

Examiner Initial		Document Number	Date	Country	Class	Sub-class	Translation
	AP						
	AR						
	AS						
	AT						

**OTHER** (including author, title, date, pertinent pages, etc.)

AU

Examiner

Date Considered

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.